

1/11/2003

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**CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"**

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*April Reeves*  
April Reeves

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

*Case et al.*

Application No.: 09/942,087

Filed: August 28, 2001

For: MODULATION OF ENDOGENOUS  
GENE EXPRESSION IN CELLS

Examiner: John S. Brusca

Group Art Unit: 1631

Confirmation No.: 7166

**TRANSMITTAL**

Mail Stop Non-Fee Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Enclosed please find the following:

1. Response to Office Action: 9 pages
2. Terminal disclaimer: 3 pages
3. Copies of March 3, 2003 IDS, Form 1449 and stamped postcard: 14pages
4. Application data sheet: 5 pages
5. Letters of Special Administration: 2 pages
6. Order for Probate: 2 pages
7. Check in the amount of \$110.00
8. Return postcard

Please direct all communications regarding this application to:

Dahna S. Pasternak  
Robins & Pasternak LLP  
1731 Embarcadero Road  
Suite 230  
Palo Alto, CA 94303

Telephone: (650) 493-3400  
FAX: (650) 493-3440

Respectfully submitted,

Date: September 25, 2003

By: Sean Brennan

Sean M. Brennan  
Registration No. 39,917

Sangamo BioSciences, Inc.  
501 Canal Blvd., Suite A100  
Richmond, California 94804  
Telephone: (510) 970-6000 ext. 252  
Facsimile: (510) 236-8951

ATTORNEY OR PARTY WITHOUT ATTORNEY (Name, bar number, and address): (415) 442-0900 W. SCOTT THOMAS, ESQ. (STATE BAR NO. 63597) BROBECK, PHLEGER & HARRISON LLP One Market, Spear Street Tower San Francisco, CA 94105 ATTORNEY FOR (Name): Elizabeth J. Wolffe	TELEPHONE AND FAX NOS.: Fax: (415) 442-1010 <div style="text-align: center; border: 1px solid black; padding: 5px;"> <b>FOR COURT USE ONLY</b>  <div style="font-size: 2em; font-weight: bold; letter-spacing: 0.5em;">FILED</div>  <div style="font-size: 1.2em;">AUG 29 2001</div>  <div style="text-align: center;"> </div> </div>
SUPERIOR COURT OF CALIFORNIA, COUNTY OF Contra Costa STREET ADDRESS: 725 Court St., Room 103 MAILING ADDRESS: CITY AND ZIP CODE: Martinez, CA 94553-1233 BRANCH NAME:	
ESTATE OF (Name): ALAN P. WOLFFE <div style="text-align: right;">DECEDENT</div>	
<div style="text-align: center; font-weight: bold;">LETTERS</div> <div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> TESTAMENTARY  <input type="checkbox"/> OF ADMINISTRATION WITH WILL ANNEXED         </div> <div> <input type="checkbox"/> OF ADMINISTRATION  <input checked="" type="checkbox"/> SPECIAL ADMINISTRATION         </div> </div>	
CASE NUMBER: <div style="font-size: 1.5em; font-family: cursive;">P01-01211</div>	

**LETTERS**

1. ☐ The last will of the decedent named above having been proved, the court appoints (name):
  - a. ☐ executor.
  - b. ☐ administrator with will annexed.
2. ☒ The court appoints (name): Elizabeth J. Wolffe
  - a. ☐ administrator of the decedent's estate.
  - b. ☒ special administrator of decedent's estate
    - (1) ☒ with the special powers specified in the Order for Probate.
    - (2) ☐ with the powers of a general administrator.
    - (3) ☐ letters will expire on (date):
3. ☐ The personal representative is authorized to administer the estate under the Independent Administration of Estates Act ☐ with full authority ☐ with limited authority (no authority, without court supervision, to (1) sell or exchange real property or (2) grant an option to purchase real property or (3) borrow money with the loan secured by an encumbrance upon real property).
4. ☐ The personal representative is not authorized to take possession of money or any other property without a specific court order.

**AFFIRMATION**

1. ☐ PUBLIC ADMINISTRATOR: No affirmation required (Prob. Code, § 7621(c)).
2. ☒ INDIVIDUAL: I solemnly affirm that I will perform the duties of personal representative according to law.
3. ☐ INSTITUTIONAL FIDUCIARY (name):

I solemnly affirm that the institution will perform the duties of personal representative according to law. I make this affirmation for myself as an individual and on behalf of the institution as an officer.  
 (Name and title):

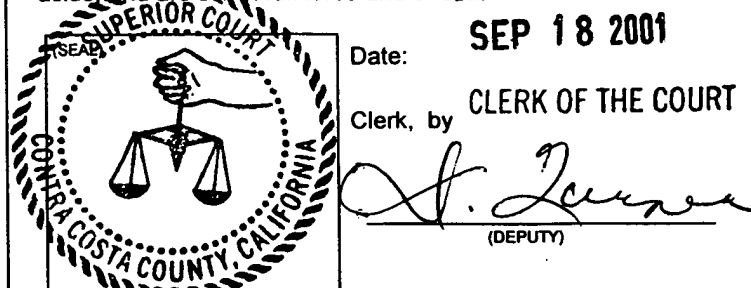
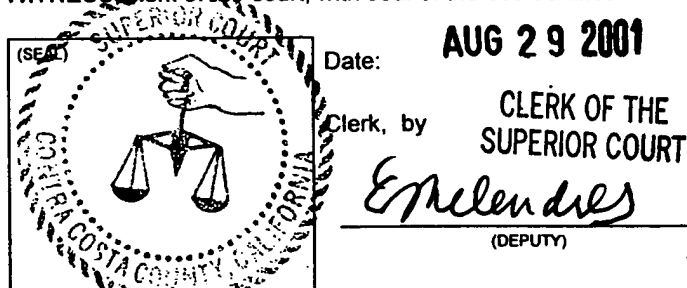
4. Executed on (date): 08/29/01  
 at (place): Martinez, California.

(SIGNATURE)

**CERTIFICATION**

I certify that this document is a correct copy of the original on file in my office and the letters issued the personal representative appointed above have not been revoked, annulled, or set aside, and will in full force and effect.

WITNESS, clerk of the court, with seal of the court affixed.



**ESTATE OF ALAN P. WOLFFE  
CONTRA COSTA COUNTY SUPERIOR COURT**

**ATTACHMENT 3d(2) TO ORDER FOR LETTERS  
OF SPECIAL ADMINISTRATION**

ELIZABETH J. WOLFFE, is hereby appointed as Special Administrator of the Estate of ALAN P. WOLFFE, with the following special powers:

1. The power to execute patent applications and related documents as personal representative of the decedent;
2. The power to execute stock certificates and related documents as personal representative of the decedent; and
3. The power to take any other actions necessary, as personal representative, to preserve the assets of the estate.

ATTORNEY OR PARTY WITHOUT ATTORNEY (Name, state bar number, and address): (415) 442-0900      TELEPHONE AND FAX NOS.: Fax: (415) 442-1010 <b>W. SCOTT THOMAS, ESQ. (STATE BAR NO. 63597)</b> <b>BROBECK, PHLEGER &amp; HARRISON LLP</b> One Market, Spear Street Tower  San Francisco, CA 94105 ATTORNEY FOR (Name): <b>Elizabeth J. Wolffe</b>	FOR COURT USE ONLY  <div style="font-size: 2em; letter-spacing: 0.5em;">FILED</div> <b>AUG 30 2001</b>  <i>Emilendres</i>		
<b>SUPERIOR COURT OF CALIFORNIA, COUNTY OF</b> Contra Costa STREET ADDRESS: 725 Court St., Room 103 MAILING ADDRESS: CITY AND ZIP CODE: Martinez, CA 94553-1233 BRANCH NAME:	CASE NUMBER:  <div style="font-size: 1.5em;">P01 - 01211</div>		
ESTATE OF (Name): <b>ALAN P. WOLFFE</b> <div style="text-align: right;">DECEDENT</div>			
<table style="width: 100%;"> <tr> <td style="width: 50%; vertical-align: top;"> <b>ORDER</b> <input type="checkbox"/> <b>Executor</b>  <b>APPOINTING</b> <input type="checkbox"/> <b>Administrator with Will Annexed</b>  <input type="checkbox"/> <b>Administrator</b> <input checked="" type="checkbox"/> <b>Special Administrator</b>  <i>R-1</i> <input checked="" type="checkbox"/> <b>Order Authorizing Independent Administration of Estate</b>  <input checked="" type="checkbox"/> <b>with full authority</b> <input type="checkbox"/> <b>with limited authority</b> </td> <td style="width: 50%; vertical-align: top;"> <b>ORDER FOR PROBATE</b>             CASE NUMBER:   <div style="font-size: 1.5em;">P01 - 01211</div> </td> </tr> </table>		<b>ORDER</b> <input type="checkbox"/> <b>Executor</b> <b>APPOINTING</b> <input type="checkbox"/> <b>Administrator with Will Annexed</b> <input type="checkbox"/> <b>Administrator</b> <input checked="" type="checkbox"/> <b>Special Administrator</b> <i>R-1</i> <input checked="" type="checkbox"/> <b>Order Authorizing Independent Administration of Estate</b> <input checked="" type="checkbox"/> <b>with full authority</b> <input type="checkbox"/> <b>with limited authority</b>	<b>ORDER FOR PROBATE</b>  CASE NUMBER:  <div style="font-size: 1.5em;">P01 - 01211</div>
<b>ORDER</b> <input type="checkbox"/> <b>Executor</b> <b>APPOINTING</b> <input type="checkbox"/> <b>Administrator with Will Annexed</b> <input type="checkbox"/> <b>Administrator</b> <input checked="" type="checkbox"/> <b>Special Administrator</b> <i>R-1</i> <input checked="" type="checkbox"/> <b>Order Authorizing Independent Administration of Estate</b> <input checked="" type="checkbox"/> <b>with full authority</b> <input type="checkbox"/> <b>with limited authority</b>	<b>ORDER FOR PROBATE</b>  CASE NUMBER:  <div style="font-size: 1.5em;">P01 - 01211</div>		
<b>WARNING: THIS APPOINTMENT IS NOT EFFECTIVE UNTIL LETTERS HAVE ISSUED.</b>			

1. Date of hearing: \_\_\_\_\_ Time: \_\_\_\_\_ Dept./Room: \_\_\_\_\_ Judge: \_\_\_\_\_

#### THE COURT FINDS

2. a. All notices required by law have been given.  
 b. Decedent died on (date): 05/26/01  
 (1) ☒ a resident of the California county named above.  
 (2) ☐ a nonresident of California and left an estate in the county named above.  
 c. Decedent died  
 (1) ☐ intestate  
 (2) ☒ testate  
 and decedent's will dated: July 24, 1996      and each codicil dated:  
 was admitted to probate by Minute Order on (date): \_\_\_\_\_

#### THE COURT ORDERS

3. (Name): Elizabeth J. Wolffe

is appointed **personal representative**:

- a. ☐ executor of the decedent's will  
 b. ☐ administrator with will annexed  
 c. ☐ administrator

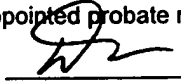
- d. ☒ special administrator  
*D.G.* (1) ☒ with general powers  
 (2) ☒ with special powers as specified in Attachment 3d(2)  
 (3) ☒ without notice of hearing  
 (4) ☐ letters will expire on (date): \_\_\_\_\_

and letters shall issue on qualification.

4. a. ☒ **Full Authority** is granted to administer the estate under the Independent Administration of Estates Act.  
 b. ☐ **Limited authority** is granted to administer the estate under the Independent Administration of Estates Act (there is no authority, without court supervision, to (1) sell or exchange real property or (2) grant an option to purchase real property or (3) borrow money with the loan secured by an encumbrance upon real property).  
 5. a. ☒ Bond is not required.  
 b. ☐ Bond is fixed at: \$ \_\_\_\_\_ to be furnished by an authorized surety company or as otherwise provided by law.  
 c. ☐ Deposits of: \$ \_\_\_\_\_ are ordered to be placed in a blocked account at (specify institution and location): \_\_\_\_\_ and receipts shall be filed. No withdrawals shall be made without a court order. ☐ Additional orders in Attachment 5c.  
 d. ☐ The personal representative is not authorized to take possession of money or any other property without a specific court order.  
 6. ☐ (Name): \_\_\_\_\_ is appointed probate referee.

Dat :

**AUG 30 2001**

  
 JUDGE OF THE SUPERIOR COURT

7. Number of pages attached: 1

☐ SIGNATURE FOLLOWS LAST ATTACHMENT

**ESTATE OF ALAN P. WOLFFE  
CONTRA COSTA COUNTY SUPERIOR COURT**

**ATTACHMENT *3d2* TO PETITION FOR LETTERS  
OF SPECIAL ADMINISTRATION**

The Petitioner respectfully requests that the court grant Letters of Special Administration to the Petitioner for the purpose of endorsing certain patent applications and stock documentation in connection with the decedent's business.

The Petitioner is the decedent's surviving spouse, and is the nominated Executor and sole beneficiary under the decedent's Will. The decedent was a research scientist, employed by Sangamo BioSciences, Inc., in Richmond, California. In his capacity as employee, the decedent developed a number of inventions, which are the intellectual property of his employer. In order to apply for patents for these inventions, the Petitioner, as personal representative of the decedent, must execute certain documentation. The patent applications must be filed immediately to avoid the loss of any such intellectual property by Sangamo BioSciences, Inc.

The Petitioner has also been advised by the Board of Directors of Sangamo BioSciences, Inc. that she, as personal representative of the decedent, must execute as soon as possible certain stock certificates and other documentation, necessary to transfer the stocks to her name as personal representative, in order for her to exercise her rights as shareholder in the company. These actions are required immediately, and are necessary and proper under the circumstances.

The Petitioner, as sole beneficiary, will be filing a Spousal Property Petition to effect the transfer of the decedent's assets to her pursuant to the terms of the decedent's Will. In the interim, her immediate appointment as Special Administrator is necessary in order to orderly administer and to avoid losses by the estate.

